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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09802025
	Filing Date		2001-03-08
	First Named Inventor	Christopher Keith	
	Art Unit	3628	
	Examiner Name	Elda G. Milef	
	Attorney Docket Number	IVEN125465	

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Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	
<i>EM</i>	1	3702007	A	1972-10-31	Davis, II		
<i>EM</i>	2	4346442	A	1982-08-24	Musmanno		
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<i>EM</i>	9	5253165	A	1993-10-12	Leiseca	
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<i>EM</i>	11	5412804	A	1995-05-02	Krishna	
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<i>gm</i>	38	6629082	B1	2003-09-30	Hambrecht	
<i>gm</i>	39	6792399	B1	2004-09-14	Phillips	

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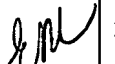
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	2	20030014379	A1	2003-01-16	Saias	

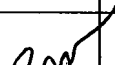
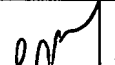
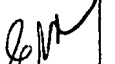
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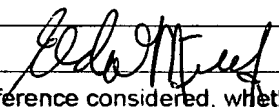
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	1	Hull, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995 pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
	2	Livingston, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>
	3	"Streamer Free Real-Time Stock Quote Service Registers 12,000 Users," PR Newswire, November 3, 1999 <http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.jhtml> [retrieved April 5, 2004].	<input type="checkbox"/>

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☐ See attached certification statement.

☒ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☐ None

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A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2006-10-13
Name/Print	Kevan L. Morgan	Registration Number	42015

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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
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<i>EM</i>	2	7058601	B1	2006-06-06	Paiz	

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Examiner Name	Elda G. Milef
Attorney Docket Number	IVEN125465

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<i>ew</i>	1	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3rd ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>

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- ☐ None

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Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2006-12-21
Name/Print	Kevan L. Morgan	Registration Number	42015

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